

# Broadridge Fixed Income Resiliency Planning

## BENEFITS AND KEY FEATURES

### impact<sup>SM</sup> Resiliency:

- Mitigates events that affect trading and critical back office operational processes
- Reduces settlement risk and daylight overdraft charges by allowing deliveries to be made from impact<sup>SM</sup> to BNY through a secondary file submission process.
- Allows continuation of tri-party deal submission and matching at BNY.
- Increases operational efficiencies through the new Upload Dashboard (UPDB), which allows outright, finance and tri-party trades to be bulk created in impact<sup>SM</sup>.
- Simplifies exception management and allows users to download transaction status through UPDB in impact<sup>SM</sup>.

## ENSURE OPERATIONAL RESILIENCE AND CONTINUITY

As an Institutional Fixed Income trading provider serving 19 of the 25 primary dealers and more than 40 regional and global fixed income institutions, Broadridge processes trillions of dollars per day through our post-trade lifecycle solutions – this makes us an integral part of the world's financial market infrastructure. As a critical contributor to today's global markets, we actively deliver solutions to our clients that ensure their operations and straight through trade processing will continue in case of a potential outage or disruption.

## MITIGATE THE RISK OF DISRUPTIONS: CLIENT FRONT-END TO IMPACT RESILIENCY

Broadridge is a provider of technology-driven solutions to the financial services industry, and our clients leverage our post-trade processing solutions to optimize their straight through trade processing from their front-end systems to our Fixed Income Post-Trade Processing Engine platform, impact<sup>SM</sup>. To support this activity, a message queue (MQ) is established between clients' front-end systems and impact<sup>SM</sup> to submit daily buy/sell, finance and tri-party activity; if this MQ is disrupted our network and production support teams coordinate with clients to bring the link back on-line. Our impact resiliency enhancements enable authorized client users to manually load trades into the system while emergency support teams simultaneously troubleshoot the issue.

## ENABLE A RELIABLE CONTINGENCY PLAN FOR BUSINESS CRITICAL OPERATIONS: impact<sup>SM</sup> TO BNY MELLON RESILIENCY

In the unlikely scenario a disruption does occur between impact<sup>SM</sup> and BNY Mellon, our BNY Resiliency functionality provides a contingency process for clients if the primary message queues are disrupted – this functionality has the capability to write settlement messages directly to an input file compliant with the BNY bulk input interface requirements. The files can be generated on demand and transmitted to BNY via NDM or manually loaded by an authorized user.

Additionally, impact<sup>SM</sup> can create a separate file containing tri-party deals to submit to AccessEdge. This file can also be transmitted either via NDM or manually loaded by an authorized user.

# Enhance Operational Processes

The screenshot shows the 'Upload DashBoard - ICI : INFORMATION CATALYSTS ICI' interface. At the top, it says 'Request Completed at 20:16:02'. Below that are tabs for 'Transaction Upload' and 'Finance Upload'. Under 'Transaction Upload', there are buttons for 'Choose File' (with 'No file chosen'), 'Upload', 'Download CSV Template', 'Download Error Transactions', and 'Download Successful Transactions'. To the right, there's a section for 'Current Day Counters' with fields for Total Uploaded Records (20072), Processed Records (11925), Unprocessed Records (0), and Error Records (8147). A 'Refresh' button is also present. Below these buttons is a table titled 'Validation error messages for the CSV upload file'. The table has columns for 'Record Number', 'Error Message', and 'External Trade ID'. Rows 3 through 10 show various validation errors like missing header values for FINANCE\_TYPE, CUSTOMER\_ACCOUNT, TRADER, ENTITY\_CODE, and EXTERNAL\_TRADE\_ID. The last row shows a general error about field length. At the bottom of the dashboard, a message says 'Pagination Size: 50' with icons for refresh, search, and sort.

(1) The bulk input template can be downloaded directly by clicking 'Download CSV Template'

(2) Users can first click 'Choose File' to retrieve the bulk input file from their local device.

(3) Once the file has been retrieved clicking 'upload' will load the bulk input file.

(4) Upload exceptions will be displayed indicating the record number and detailed error message. The record number corresponds with the row number from the CSV.

(5) Trades that are created successfully or in error can be downloaded directly from the interface. The download will be provided in CSV format.



If you are interested in participating, or if you have any questions, please contact your account manager.

## CONTACT US

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Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for banks, broker-dealers, asset and wealth managers and public companies. Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

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